

Personnel Document
On Evaluative Criteria, Procedures and General Standards for Initial Appointment, Successive
Appointments, Promotion, Tenure,
Annual Review, and Post-Tenure Review of Faculty
And for Appointment and Annual Review of Non-Classified Staff

Department of Mathematical Sciences
J. William Fulbright College of Arts and Sciences

This document governs the Department of Mathematical Sciences in the selection, retention, promotion, granting of tenure to, and evaluation of faculty and in the selection and evaluation of non-classified staff, effective [date of implementation, following president's approval]. It has been approved by the Department of Mathematical Sciences, the Dean, the Provost, the Chancellor, and the President of the University of Arkansas, as indicated by the signatures below.

These policies are required to be consistent with the policies of the university as set forth in Board of Trustees policy 405.1 and in three campus policy statements: (1) Evaluative Criteria, Procedures and General Standards for Initial Appointment, Successive Appointments, Promotion and Tenure, (2) University Professorships, and (3) Distinguished Professorships. In case of conflict, the board policy, the campus policy, the school, college, or library policy, and the department policy shall have authority in that order. Copies of these documents are available online, as referenced in the *Faculty Handbook*, at the UA web site <http://uark.edu/admin/vcacey/>

It is the policy of the University of Arkansas, Fayetteville to provide equal employment opportunity to all qualified persons; to prohibit discrimination against any employee or applicant for employment because of race, color, religion, sex, age, national origin, sexual orientation, marital or parental status, veteran's status, or disability, and to promote the full realization of equal employment opportunity through a positive, continuing program of affirmative action.

APPROVALS

_____	_____
Department Chair	Date
_____	_____
Dean	Date
_____	_____
Provost	Date
_____	_____
Chancellor	Date
_____	_____
President	Date

Responsibilities

Chair. The Chair is responsible for the organization and conduct of Departmental activities in faculty appointments, successive appointment, termination, pre-tenure, tenure and promotional reviews and annual review. It is the Chair's duty to fill vacancies in accordance with the University's Affirmative Action Plan and to place before the professors the proper applicant pool for consideration and screening. In recommendations to the College and University, the Chair will faithfully report the findings of the professors (i.e. assistant professors, associate professors, and professors), both the majority view and any substantial minority view, and will indicate his or her own recommendation giving full reasons if there is disagreement with the majority of the professors. In any affective decision the Chair will convey the final recommendation to the candidate in a timely way.

Tenured Professors. The responsibility of the tenured professors in matters of appointment, successive appointment, promotion, tenure, and termination is to judge according to the highest standards of the disciplines in the Mathematical Sciences, utilizing the criteria of this document. In a recommendation for appointment, successive appointment, tenure, promotion or termination, all tenured professors should be involved.

Non-tenured Professors. It is expected that non-tenured professors will make valuable contributions in the areas of recruitment and performance evaluation. The tenured professors will determine the extent of that involvement.

Steering Committee. The Steering Committee serves as the department personnel committee as described in the Fulbright College Personnel Document. The Steering Committee is composed of three tenured and/or tenure-track departmental faculty, elected by the departmental faculty to staggered three-year terms. The longest-serving member of the committee shall serve as its chair. In accordance with the college and campus personnel documents, this committee shall participate in the annual review of each faculty member's performance. This committee shall conduct all departmental elections and initiate nominations for Distinguished Professor and University Professor.

Each Promotion and Tenure Committee will be appointed by the Steering Committee in consultation with the Chair, and will consist of three tenured faculty members. This committee will carry out the procedures outlined below in this document, in accordance with the college and campus personnel documents.

Personnel File

In accordance with the Fulbright College Personnel Document the administrative staff of the department shall maintain a personnel file for each faculty member. The chair and steering committee will have access to these files, including their own, in fulfillment of their departmental duties. Any faculty member will be given an opportunity to review and receive a copy of his or her own file upon request, subject to all policies of the University.

Work Assignments

Faculty will normally teach two classes per semester, carry out a research program and provide active professional service; the teaching duties may be modified by the chair, for example to provide release time for substantial research efforts or in order to render exceptional service to the department. The weightings of faculty performance will be as described in Section II.A of the College Personnel

Document; faculty members may request that the Chair seek approval from the Dean for changes to their work assignments, for example to reflect a higher service or teaching load in compensation for reduced research performance.

Initial Appointment

Consistent with the College Personnel Document, the Chair must consult with the faculty before recommending an initial appointment to the Dean; additionally the chair will conduct a non-binding vote of the tenured and tenure-track faculty as part of this consultation.

The criteria for initial appointment are as follows:

Assistant Professor. Ph.D. or equivalent degree in one of the mathematical sciences or a closely related area; clear potential for excellence in teaching and for a significant program of research.

Associate Professor. Ph.D. or equivalent degree in one of the mathematical sciences or a closely related area; enough publication or creative work of high quality to indicate a significant scholarly career; excellence in teaching, including some teaching at an advanced level in the candidate's area of expertise; the beginning of competent work in one or more of Departmental administration, College or University Committees, community service, professional organizations.

Professor. Ph.D. or equivalent degree in one of the mathematical sciences or a closely related area; sufficient publication or creative work of high quality to bring wide recognition in the specialty; excellence in teaching at all levels of appropriate degree programs; a strong record of service in one or more of Departmental administration, College or University Committees, community service, or professional organizations; and a demonstrated commitment to the department's progress and programs.

Distinguished Professor. The criteria for appointment to Professor, a widely recognized and exceptional record of internationally distinguished scholarship with a substantial impact; excellence in teaching at all levels of appropriate degree programs; a strong record of service in one or more of Departmental administration, College or University Committees, community service, or professional organizations; and a demonstrated commitment to the department's progress and programs.

University Professor. The criteria for appointment to Professor, a substantial research career, excellence in teaching at all levels of appropriate degree programs; and an extraordinary record of substantial service in one or more of Departmental administration, College or University Committees, community service, or professional organizations; and a demonstrated commitment to the department's progress and programs.

Successive Appointments and Annual Review

The criterion for successive appointments for tenure-track faculty is evidence of appropriate progress towards tenure.

The chair and steering committee will conduct an annual review of faculty in accordance with the College Personnel and Evaluative Criteria Documents. In addition to the documentation requested by the college, departmental faculty will include a narrative self-evaluative summary of their performance in teaching, research and service. Faculty may include additional documentation if they so choose. The Steering Committee will provide preliminary evaluations to the Chair, who will then provide the final evaluations.

The Chair will meet with each non-tenured tenure-track professor and will provide an opportunity for a meeting with each tenured professor, to discuss the Annual Review as specified in the University and College documents. As per the Evaluative Criteria Document, faculty will have an opportunity to respond in writing to their evaluations before they are forwarded to the college.

Evaluative Criteria

The Department of Mathematical Sciences aspires to excellence in all endeavors, and the criteria for “meets expectations fully” reflect this aspiration. Similarly the rating “exceeds expectations” will be used sparingly as the department’s expectations are substantial; this rating may be used to indicate an exceptional performance, that while not truly exceeding the department’s high expectations, is worthy of special recognition.

Teaching: Evaluations of teaching performance will include the quality of a faculty member’s pedagogical activity, the overall contribution to the departmental teaching and outreach missions, the faculty member’s good citizenship as reflected in engagement in advising and mentoring, flexibility in teaching assignments, and demonstrating leadership in the development of programs or curricula. To “meet expectations fully” faculty must meet high standards of pedagogical activity, including exposition, advising and mentoring and/or the development of the department’s programs and curricula. To “exceed expectations” faculty must take a substantial leadership role in the development of the department’s programs and/or curricula. Faculty with little additional contribution to the overall teaching mission of the department will “minimally meet expectations.” Faculty with consistently poor performance as indicated by evaluations by departmental faculty or students, missed work assignments, an unwillingness or inability to carry out one’s duties or other measures, will “fail to meet expectations”.

Research: Evaluations of research performance will include the quality of a faculty member’s scholarship, as judged by the international standing of journals in which one publishes, the generation of external funding, visibility in invited presentations, or other measures as appropriate. Refereed work will be distinguished from non-refereed work and quality will be considered over a simple count of publications. Faculty “meet expectations fully” if they maintain a steady level of high quality scholarship and participate in the research life of the department. Only the most extraordinary faculty members will consistently “exceed expectations”; this rating may be applied more occasionally to recognize a faculty member’s exceptional year. Faculty who produce high quality scholarly work intermittently, or produce weak scholarship “minimally meet expectations” and those who produce no essentially no scholarship at all will “fail to meet expectations”.

Service: The vitality of the department, college and profession depend on the service of their members. The department expects that all faculty members are engaged in service at a level appropriate to their rank. Prior to the third year of a pre-tenure appointment, expectations are lessened to allow faculty to concentrate on establishing their scholarship. Expectations successively increase, and it is expected that faculty with tenure demonstrate initiative and leadership, playing a substantial role, in the administration of their department, college or profession. Faculty “meet expectations fully” by engaging substantially in the administrative burdens of the department, college or profession; faculty “exceed expectations” by taking on extraordinary leadership roles with substantial transformative effects. Faculty who are minimally active in the administration of the department, college, or profession “meet expectations minimally” and faculty who are essentially inactive “fail to meet expectations”.

Promotion and Tenure

Pre-tenure, Tenure and Promotional Review. These reviews are conducted as described in the College document, with the following Departmental clarifications. The pre-tenure review will be conducted for each non-tenured, tenure-track professor in the Fall of the third year of appointment, by a Committee appointed by the Steering Committee in consultation with the Chair for each case. The review will be as substantial as a tenure or promotional review. A record will be kept of the review and the candidate and the dean will be informed of the results of the review, including any consequential departmental recommendation concerning his or her status.

The recommended schedule for tenure and promotional reviews is as follows:

By May 5 - All professors eligible for tenure or promotion may notify the Chair of their desire to be considered. An open file is made available for each candidate to furnish whatever information he or she wishes considered. The Steering Committee, in consultation with the Chair, appoints a Promotion and Tenure committee for each case; this committee considers professional resumes and other available information on all eligible candidates, and makes recommendations to the Chair. The Chair formulates an opinion and recommendation for each candidate, and, in view of such information, each candidate notifies the Chair in writing if he or she wishes to have the case further prepared.

By May 10 - If the candidate's decision is to continue preparation of the case then the Promotion and Tenure Committee, along with the candidate compiles a list of potential outside evaluators, consistent with the procedures in the campus promotion and tenure document, then solicits outside reviews, including materials provided by the candidate.

August – The candidate's materials and the outside reviews are compiled and reviewed by the Promotion and Tenure Committee with the assistance of the Chair. The Promotion and Tenure committee presents the case to the tenured faculty, who then vote whether or not to recommend promotion and/or tenure. Recommendations from the Chair, the Promotion and Tenure Committee and the tenured faculty are presented to the candidate, who then notifies the Chair in writing whether or not he or she wishes to have the case sent beyond the Department. If the decision is to send the case forward, then the Chair sends the final recommendations and supporting materials to the College.